

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Dear Business Owner:

Thank you for your interest in participating in the Unified Certification Program (UCP) of California for Disadvantaged Business Enterprises (DBEs). As mandated by the United States Department of Transportation (U.S. DOT) in the DBE Program, Final Rule 49 Code of Federal Regulations (CFR), Part 26, all U.S. DOT recipients of federal financial assistance must participate in a statewide UCP by March 2002. The UCP is a “One-Stop Shopping” certification procedure that will eliminate the need for DBE firms to obtain certifications from multiple agencies within the State.

The UCP of California is charged with the responsibility of certifying firms and compiling and maintaining the Database of certified DBEs for U.S. DOT grantees in California, pursuant to 49 CFR Part 26. The Database is intended to expand the use of DBE firms by maintaining complete and current information on those businesses and the products and services they can provide to all grantees of California.

Please complete the attached application and supplemental questionnaire if you wish to be considered for DBE certification and your business meets the following general guidelines:

- a) The firm must be at least 51% owned by one or more socially and economically disadvantaged individuals.
- b) The firm must be an independent business, and one or more of the socially and economically disadvantaged owners must control its management and daily operations.
- c) Only existing for-profit “Small Business Concerns,” as defined by the Small Business Act and Small Business Administration (SBA) regulations may be certified. DBE applicants are first subject to the applicable small business size standards of the SBA. Second, the average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed U.S. DOT’s cap of \$17.42 million.

For firm applying for airport concession DBE certification: The average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed \$30 million.

- d) The Personal Net Worth (PNW) of each socially and economically disadvantaged owner must not exceed \$750,000. The PNW **excludes** the individual’s ownership interest in the applicant firm and the equity in his/her primary residence.

For firm applying for airport concession DBE certification: A PNW is not required at this time.

Socially and economically disadvantaged individual means any individual who is a citizen of the United States (or lawfully admitted permanent resident) and who is a member of the following groups: Black American, Hispanic American, Native American, Asian-Pacific American, Subcontinent Asian American, or Women,

or

Any individual found to be socially and economically disadvantaged on a case-by-case basis by a certifying agency pursuant to the standards of the U.S. DOT 49 CFR Part 26.

In order to avoid unnecessary delays, please complete all portions of the application and supplemental questionnaire, placing "N/A" next to items that are not applicable. Include all copies of documents requested on the application, and have the *Affidavit of Certification*, *Affidavit of Social and Economic Disadvantage* and *Personal Net Worth Statement* notarized. Additional documentation may be requested if it is considered necessary to make a certification determination. Incomplete applications/supplemental questionnaires or applications/supplemental questionnaires without all the required documents will not be evaluated until such documents are submitted. We recommend keeping a copy of all submitted documents for your records.

REMEMBER: It is no longer necessary to apply at more than one agency. If your firm meets the criteria for certification, it will be entered into the Database of DBEs for all U.S. DOT grantees in California. Only firms currently certified as eligible DBEs may participate in the DBE programs of U.S. DOT grantees of California.

The California UCP has established four Regional DBE Certification Clusters throughout the State to effectively facilitate statewide DBE certification activities. Please forward your completed certification packet to **one** of the agencies serving the county where your firm has its principal place of business. (See enclosed Roster of Certifying Agencies.)

For Out-of-State Firms: The California UCP will not process a new application for DBE certification from a firm having its principal place of business in another state unless the firm has already been certified in that state. If your firm is located outside of California and is certified as a DBE at its home state, please forward your completed certification packet, along with copies of your certification letter and DBE certificate, to the California Department of Transportation. (See page 3 of the enclosed Roster of Certifying Agencies.)

CALIFORNIA UNIFIED
CERTIFICATION PROGRAM

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Definitions of Terms Used in Uniform Certification Application

Alaska Native Corporation (ANC) – Any Regional Corporation, Village Corporation, Urban Corporation, or Group Corporation organized under the laws of the State of Alaska in accordance with the Alaska Native Claims Settlement Act, as amended.

Concession – A grant of property made by a government or other controlling authority in return for stipulated services or a promise that the property will be used for a specific purpose.

Corporate Tax Returns – Federal Tax Return Form 1120 or 1120S, including Schedules E or C.

Indian Tribe – Any Indian tribe, band, nation, or other organized group or community of Indians, including any ANC, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians, or is recognized as such by the State in which the tribe, band, nation, group, or community resides. See definition of Tribally-Owned Concern.

Key Person Insurance – Life insurance and long-term disability income insurance on major employees, with benefits payable to the business.

Native Hawaiian – Any individual whose ancestors were natives, prior to 1778, of the area which now comprises the State of Hawaii.

Native Hawaiian Organization – Any community service organization serving Native Hawaiians in the State of Hawaii which is a not-for-profit organization chartered by the State of Hawaii, is controlled by Native Hawaiians and whose business activities will principally benefit such Native Hawaiians.

Partnership Tax Returns – Federal Tax Return Form 1065, including Schedules K and K-1.

Personal Net Worth – The net value of the assets of an individual remaining after total liabilities are deducted. An individual's personal net worth does not include: The individual's ownership interest in an applicant or participating DBE firm; or the individual's equity in his or her primary place of residence. An individual's personal net worth includes only his or her own share of assets held jointly or as community property with the individual's spouse.

Personal Tax Returns – Federal Tax Return Form 1040, including Schedules B and C.

Regular Dealer – A firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. Packagers, brokers, manufacturers’ representatives, or other persons who arrange or expedite transactions are not regular dealers.

Socially and Economically Disadvantaged Individual – Any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is—

1. Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis.
2. Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
 - “African Americans” or “Black Americans,” which includes persons having origins in any of the Black racial groups of Africa.
 - “Hispanic Americans,” which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race.
 - “Native Americans,” which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians.
 - “Asian-Pacific Americans,” which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong.
 - “Asian Indian Americans” or “Subcontinent Asian Americans,” which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka.
 - Women.
 - Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.

Tribally-Owned Concerns – Any concern at least 51 percent owned by an Indian tribe.

DISADVANTAGED BUSINESS ENTERPRISE PROGRAM
49 CFR PART 26

UNIFORM CERTIFICATION APPLICATION

Under Sec. 26.107 of 49 CFR Part 26, dated February 2, 1999, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 49 CFR Part 29, take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice under 18 U.S.C. 1001.

ROADMAP FOR APPLICANTS

① **Should I apply?**

Your firm must meet the following requirements to qualify as a DBE under the DOT DBE program:

- ☐ Disadvantaged owners are U.S. citizens or legal permanent residents.
- ☐ Firm's annual gross income does NOT exceed \$17.42 million (averaged over 3 years).
- ☐ Firm is at least 51% owned and controlled by socially and economically disadvantaged individuals.
- ☐ Firm meets SBA small business size in the primary industry group (13 CFR part 121).
- ☐ Firm owned by ANCs, Indian Tribes, and Native Hawaiian Organizations meet the small business size requirements and are controlled by socially and economically disadvantaged individuals.
- ☐ Firm and owners meet the requirements of part 26 concerning licenses and credentials.
- ☐ Firm must be for-profit.

Note: Firm must undergo an on-site review.

② **Is there an easier way to apply?**

If you are currently certified as an 8(a), or SDB firm, you may be eligible for a streamlined certification application process pursuant to a Memorandum of Understanding (MOU) between DOT and the SBA. Under the MOU, the certifying agency to which you are applying will accept your current SBA application package in lieu of requiring you to submit an entirely new application. You must still meet the requirements for the DBE program.

③ **What documents must I submit with this application?**

The following documents must be attached to your application. *Missing documents or incomplete information will delay the processing of your application.*

All Applicants

- ☐ Work experience resumes that include places of ownership/employment and corresponding dates.
- ☐ Personal Net Worth statement or statement from CPA.
- ☐ Social & economic disadvantage statement.
- ☐ Entire copy of personal tax returns for the last 3 years, if applicable.
- ☐ Documented proof of contributions used to acquire ownership for each owner (*e.g. both sides of cancelled checks*).
- ☐ Signed loan agreement and security agreements.
- ☐ Description of real estate and proof of ownership listed.
- ☐ List of equipment leased and signed lease agreements.
- ☐ List of construction equipment and/or vehicles owned and titles/proof of ownership.
- ☐ Signed leases for office/storage space.
- ☐ End of Year Balance Sheets and Income Statements for the past 3 years (*or life of firm if less than 3 years*). A new business must provide a current Balance Sheet.
- ☐ Copies of relevant licenses.
- ☐ DBE/MBE/WBE, SBA 8(a) or SDB certifications or denials and decertifications.
- ☐ Bank Authorizations and Signatory cards.
- ☐ Schedule of salaries paid to all officers, managers, owners or directors of the firm (W-2s).

Sole Proprietorship

- ☐ Assumed name, fictitious name or other registration certificate from appropriate governmental agency.

Partnership or Joint Venture

- ☐ Original and any amended Partnership or Joint Venture Agreements.
- ☐ Assumed name, fictitious name, or other registration Certificate from appropriate governmental agency, if applicable.
- ☐ Partnership tax returns for last 3 years.

Corporation or LLC

- ☐ Official Articles of Incorporation (*signed by the state official*).
- ☐ Both sides of all Corporate Stock Certificates and Stock.
- ☐ Transfer Ledger.
- ☐ Entire copy of corporate tax returns for the last 3 years.
- ☐ Shareholders' Agreement.
- ☐ Minutes of all Stockholders' and Board of Directors' meetings.
- ☐ Corporate By-laws and any amendments.

NOTE: The specific state or recipient to which you are applying may have additional requirements.

④ **Where can I find more information?**

U.S. DOT – <http://osdbuweb.dot.gov/business/dbe/index.html>

Section 1: CERTIFICATION INFORMATION

1. Prior/Other Certifications.

(a) Is your firm currently certified for any of the following programs? <i>(If Yes, attach a copy of your certification(s)).</i>	DBE	Name of certifying agency:
		Has this firm's home state conducted an on-site visit? Yes, on ____/____/____ No
	8(a) SDB	Stop! You may not have to complete this application. Ask about the streamlined application process under the SBA/DOT MOU.
(b) Has your firm applied for certification for any program listed in 1(a) in the past? Yes, on ____/____/____ No If Yes, identify: Other names your company has used: Identification and certification numbers:		
(c) Has this firm or any of its owners, Board of Directors, officers or management personnel been denied certification or decertified before by any agency in any state, local or Federal entity? Yes, on ____/____/____ No If Yes, identify State and name of agency:		

Section 2: GENERAL INFORMATION

2. Contact Information.

Contact Person:		Legal name of firm:	
Phone #:	Cell #:	Fax #:	
E-Mail:		Web Site <i>(if firm has one)</i> :	
Street address of firm: <i>(No P.O. box no.)</i>			
Mailing address of firm:			
City:	County/Parish:	State:	Zip:

3. Business Profile.

Primary nature of business/NAICS code:	Federal tax ID:
Federal identification number or Applicant's Social Security number:	
This firm was established on ____/____/____	I(we) have owned this firm since: ____/____/____
Did the business exist under a different type of ownership prior to the date indicated above? Yes No If Yes, Explain.	
Method of acquisition <i>(check all that apply)</i> : Started new business Bought existing business Inherited business Secured concession Merger or consolidation Other <i>(explain)</i> _____	
Has this firm operated under a different name during the past five years? Yes No If Yes, explain.	
Has this firm applied for reorganization under Chapter 11 and/or liquidation under Chapter 7, within the last 3 years? <i>(If Yes, provide court papers)</i> Yes No	
Type of firm <i>(Check all applicable)</i> : Sole proprietorship <i>(provide a copy of the assumed name certificate)</i> Partnership <i>(provide copies of all partnership agreements and the assumed named certificate)</i> Corporation <i>(provide Articles of Incorporation, copies of the stock certificates (both sides), Stock Transfer Ledger, Shareholders' Agreement, all minutes of the shareholders' meetings and Board of Directors' meetings, the Corporate Bylaws and Bylaws Amendments (if applicable), the Corporate Bank Resolution and Bank Signature Cards)</i> Limited Liability Partnership Joint Venture Other	
Number of employees: Permanent Full-time ____ Temporary Full-time ____ Seasonal Full-time ____ Permanent Part-time ____ Temporary Part-time ____ Seasonal Part-time ____	
Where do you obtain seasonal employees?	
Does your firm directly pay, in its own name, all its employees? Yes No If No, explain.	
Specify the gross receipts of the firm for the last 3 years: <i>(Attach copies of full transactions for each year)</i> Year ending ____ Total receipts: \$ ____ Year ending ____ Total receipts: \$ ____ Year ending ____ Total receipts: \$ ____	

Section 3: OWNERSHIP

- 4. Identify all individuals or holding companies with any ownership interest. List their cash, equipment and/or real estate and/or other investment in the firm; and attach the documentation of the source of these investments.**
(Attach work experience resumes of each person; If more than two owners, attach a separate sheet.)

First Person

Name:		Title:		Home Phone#:	
Home Address (street and number):					
City:			State:		Zip
Gender: Male Female		Ethnic Group (attach proof of status): African American Hispanic Native American Caucasian Asian Pacific Asian Indian Other Ethnic Group (explain) _____			
U.S. Citizen: Yes No					
Legal permanent resident: Yes No					
Number of years owned:		Initial investment to acquire ownership interest in firm:		Type	Dollar Value
Percentage owned:				Cash	\$
Familial relationship to other owners:				Real Estate	\$
				Equipment	\$
				Other	\$
Shares of Stock: <u>Number</u> <u>Percentage</u> <u>Class</u> <u>Date Acquired</u> <u>Method Acquired</u>					
Additional contributions made by anyone since the business was started/acquired:					

Second Person

Name:		Title:		Home Phone#:	
Home Address (street and number):					
City:			State:		Zip:
Gender: Male Female		Ethnic Group (Attach proof of status): African American Hispanic Native American Caucasian Asian Pacific Asian Indian Other Ethnic Group (explain) _____			
U.S. Citizen: Yes No					
Legal permanent resident: Yes No					
Number of years owned:		Initial investment to acquire ownership interest in firm:		Type	Dollar Value
Percentage owned:				Cash	\$
Familial relationship to other owners:				Real Estate	\$
				Equipment	\$
				Other	\$
Shares of Stock: <u>Number</u> <u>Percentage</u> <u>Class</u> <u>Date Acquired</u> <u>Method Acquired</u>					
Additional contributions made by anyone since the business was started/acquired:					

Section 4: CONTROL

- 5. Identify Officers & Board of Directors.** (Attach work experience resumes of each person; If additional space is required, attach a separate sheet.)

	Name	Title/Date Appointed	Ethnicity	Gender
Company Officers	1. 2. 3. 4. 5.			
Board of Directors	1. 2. 3. 4. 5.			

6. Identify management personnel who control the firm in the following areas. (*Attach work experience resumes, including dates of employment at each company for each person; if more than two persons, attach a separate sheet*)

	Name	Title	Ethnicity	Gender
Financial Decision (<i>responsibility for check signing, acquisition of lines of credit, surety bonding, supplies, etc.</i>)	1. 2.			
Estimating, bidding and negotiating (<i>cost estimates, bid preparation and submission, negotiation or contract execution</i>)	1. 2.			
Hiring/firing of management personnel	1. 2.			
Field/Production Operations Supervisor (<i>site supervision/scheduling, project management services</i>)	1. 2.			
List all field supervisors	1. 2.			
Office management	1. 2.			
Marketing/Sales	1. 2.			
Purchasing of major equipment	1. 2.			

7. Identify persons or firms who provide the following services.

	Name of firm	Name of person	Address	Phone No.
External management or technical/Computer service				
Accountant				
Attorney				
Principal Suppliers	1. Materials or equipment supplied 2. Materials or equipment supplied 			

8. Identify those union(s), business(es), or professional association(s) in which the owner(s) or management personnel have membership.

Name of union, business or professional association	Address	Phone No.
1.		
2.		
3.		

9. Attach a list of equipment and/or vehicles within your firm's possession or under your control (*indicate separately*), office space (*owned or leased*) and storage space (*owned or leased*), including signed leasing agreements.

10. Financial Information.

(a) Banking Information Name of bank: _____ Phone No. () _____ Name of officer: _____ Address of bank: _____ City: _____ State: _____ Zip: _____				
(b) Bonding Information: If you have bonding capacity, identify: Name of agent or broker: _____ Phone No: () _____ Address of agent/broker: _____ City _____ State: _____ Zip : _____ Bonding limit: Aggregate limit \$ _____ Project limit \$ _____				
(c) Attach copies of year end balance sheet and profit and loss (income) statements for the last 3 years, or if business has been in operation for less than one year, provide a current balance sheet, a projected profit and loss statement for the next 12 month period and a projected balance sheet for the end of that period.				

11. Identify all sources, amount and purposes of money loaned to the firm, including name of person or firm securing the loan, if other than owner(s). (Attach copies of all loan agreements.)

Name of Source	Address of Source	Amount
1.		
2.		
3.		

12. List current licenses (e.g. contractor, engineer, architect, ICC, etc.). (Attach copies of licenses.)

Name of Individual or Firm	Name of License	Expiration Date	License Number
1.			
2.			
3.			

13. Does your firm have key person insurance? Yes No

(If Yes, attach a list of the persons named and the value.)

14. List the 3 largest contracts completed by this firm in the past 3 years.

Name of owner/contractor	Name/location of project	Type of work performed
1.		
2.		
3.		

15. List all active jobs this firm is currently working on. (If additional space is required, attach a separate sheet.)

Name of prime contractor and project number	Location of project	Type of work	Date project began	Anticipated completion date
1.				
2.				
3.				

Section 5: AFFILIATION

16. Affiliation with other businesses.

(a) Affiliate companies: _____																
(b) Do any of the people listed in question 4, 5, or 6 perform a management or supervisory function for any other business? Yes No If Yes, identify: Person: _____ Title: _____ Business: _____ Function: _____																
(c) Do any of the people listed in questions 4, 5, or 6 own or work for other firms that have a business relationship with yours? (e.g., ownership interest, shared office space, financial investments, equipment leases or personnel sharing)? Yes No If Yes, identify: Firm: _____ Person: _____ Business Relationship: _____																
(d) Whether affiliated or not, is the applicant firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office space, yard, warehouse, facilities, equipment, or office staff, with any other business, organization, or entity? Yes No If Yes, identify: Firm's name: _____ Tax ID number _____ Explain nature of shared facilities: _____																
(e) At present or in the past 5 years: If you answered Yes to any of these questions, identify on a separate piece of paper any relevant names, addresses, dates and explanations.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Has this firm been a subsidiary of any other firm?</td> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> <tr> <td style="padding: 2px;">Has this firm consisted of a partnership in which one or more of the partners are other firms?</td> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> <tr> <td style="padding: 2px;">Has any other firm owned 5% or more of this firm?</td> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> <tr> <td style="padding: 2px;">Has this firm had any subsidiaries?</td> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> <tr> <td style="padding: 2px;">Has this firm owned 5% or more of any other firm?</td> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table>	Has this firm been a subsidiary of any other firm?	Yes	No	Has this firm consisted of a partnership in which one or more of the partners are other firms?	Yes	No	Has any other firm owned 5% or more of this firm?	Yes	No	Has this firm had any subsidiaries?	Yes	No	Has this firm owned 5% or more of any other firm?	Yes	No
Has this firm been a subsidiary of any other firm?	Yes	No														
Has this firm consisted of a partnership in which one or more of the partners are other firms?	Yes	No														
Has any other firm owned 5% or more of this firm?	Yes	No														
Has this firm had any subsidiaries?	Yes	No														
Has this firm owned 5% or more of any other firm?	Yes	No														

Section 6: OTHER

17. Are you a trucking firm? Yes No

(If Yes, attach proof of ownership of a fully operational truck and trailer. Documentation should include insurance and titles.)

18. Are you a regular dealer? Yes No

(If Yes, attach proof of warehouse, product lines carried, and distribution equipment.)

AFFIDAVIT OF CERTIFICATION

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I _____ (full name), swear or affirm under penalty of law that I am _____ (title) of applicant firm _____ (firm name) and that I have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm, as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm's bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its place(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract or subcontract, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program (UCP) of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership, address, telephone number, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I declare under penalty of perjury that the foregoing is true and correct.

Signature of owner, officer or partner _____ Date(mm/dd/yy) _____

I declare under penalty of perjury that the information provided in this application and supporting documents relating to my disadvantaged status and me is true and correct.

Print Name: _____ Signature: _____ Date: _____

Print Name: _____ Signature: _____ Date: _____

Print Name: _____ Signature: _____ Date: _____

Print Name: _____ Signature: _____ Date: _____

Print Name: _____ Signature: _____ Date: _____

NOTARY CERTIFICATION

STATE OF _____

}SS:

COUNTY OF _____

Subscribed and sworn to before me this _____ day of _____, 20__

Signature of Notary Public _____

Printed/typed name of Notary Public _____

County of residence _____ Date commission expires _____

AFFIDAVIT OF SOCIAL AND ECONOMIC DISADVANTAGE

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

SOCIAL DISADVANTAGE

I hereby certify under penalty of perjury that I am a member of one of the following groups:

African American Hispanic Native American Caucasian Asian Pacific
Asian Indian Other Ethnic Group (*explain*) _____

And that I have held myself out as a member of that group and have acted as a member of that group.

I further certify that I am an owner of the company seeking DBE certification and that I have experienced social disadvantage due to the effect of discrimination based upon my (check all that apply)

race ethnicity gender other (*explain*) _____

Print Name: _____ Signature: _____ Date: _____

PERSONAL FINANCIAL STATEMENT

I hereby certify under penalty of perjury that my personal net worth does not exceed \$750,000.

Print Name: _____ Signature: _____ Date: _____

This statement is supported by (check one)

A signed, notarized statement of personal net worth, with appropriate supporting documentation.

A signed, notarized statement from a certified public accountant (CPA) attesting that he/she has examined my personal net worth and determined, consistent with the provisions of §26.67(a)(2) and generally accepted accounting standards, that my personal net worth does not exceed \$750,000.

NOTARY CERTIFICATION

STATE OF _____

} SS:

COUNTY OF _____

Subscribed and sworn to before me this _____ day of _____, 20__

Signature of Notary Public _____

Printed/typed name of Notary Public _____

County of residence _____ Date commission expires _____

PERSONAL NET WORTH STATEMENT
(49 CFR PART 26)

As of _____

For firm applying for airport concession DBE certification: A PNW is not required at this time.

Each individual owner of a DBE firm whose ownership or control is relied upon for DBE certification is required to provide Personal Net Worth (PNW) information and include it in the notarized DBE Certification Application package. For a firm with more than one owner relied upon for DBE certification, please make additional copies of this Statement. The Unified Certification Program of California reserves the right to request additional information as necessary and may conduct an on-site visit to verify the information contained in this Statement.

I understand that all personal financial information I submit will remain confidential unless I give my written consent to release this information to a third party. I also understand that the only exception to this confidentiality provision is if I decide to appeal a decision by the Unified Certification Program of California.

Name _____ Phone _____
Business Address _____
City, State, & Zip Code _____
Business Name _____

Assets¹	Liabilities
Cash on Hand & in Banks\$ _____	Accounts Payable\$ _____
Savings Accounts\$ _____	Notes Payable to Banks and Others.....\$ _____
IRA or Other Retirement Accounts\$ _____	Installment Accounts (Auto)\$ _____ (Mo. Payments \$ _____)
Accounts/Notes Receivable.....\$ _____	Other Installment Accounts.....\$ _____ (Mo. Payments \$ _____)
Life Insurance/Cash Surrender Value.....\$ _____	Loans on Life Insurance\$ _____
Stocks and Bonds\$ _____	Mortgages on Real Estate ²\$ _____
Real Estate ²\$ _____	Unpaid Taxes.....\$ _____
Automobile – Present Value.....\$ _____	Other Liabilities.....\$ _____
Other Personal Property\$ _____	
Other Assets\$ _____	
Total Assets.....\$ _____	Total Liabilities\$ _____
	NET WORTH \$ _____

Sources of Income	Contingent Liabilities
Salary\$ _____	As Endorse or Co-Maker.....\$ _____
Net Investment Income.....\$ _____	Legal Claims and Judgment\$ _____
Real Estate Income\$ _____	Provision for Federal Income Tax.....\$ _____
Other Income ³\$ _____	Other Special Debt\$ _____

Is any portion of the equity in the individual's primary residence attributable to withdrawal(s) from the firm applying for DBE certification? _____ If yes, how much? \$ _____

The undersigned does hereby swear that the foregoing statements are true, accurate, and complete.

Signature _____ Date _____

1. Exclude an individual's ownership interest in the firm applying for DBE certification.
For individuals claiming to be Alaska Native, exclude any of the following which the individual receives from any Alaska Native Corporation ("ANC"): Cash (including cash dividends on stock received from an ANC) to the extent that it does not, in the aggregate, exceed \$2,000 per individual per year; a partnership interest; land, or an interest in land (including land or an interest in land received from an ANC as a dividend or distribution on stock); and an interest in a settlement trust.
2. Do not include the individual's primary residence.
3. Alimony or child support payments need not be disclosed in "Other Income" unless it is desired to have such payments counted toward total income.

**PERSONAL NET WORTH STATEMENT
NOTARY ACKNOWLEDGEMENT**

STATE OF _____

COUNTY OF _____

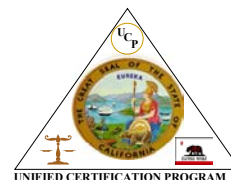
On this _____ day of _____, _____, before me, the undersigned Notary Public, personally appeared _____, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within Affidavit, and acknowledged that he/she/they executed the same in his/her/their authorized capacity, and that by his/her/their signature on the instrument, the person(s) executed the instrument.

WITNESS my hand and Official Seal.

Signature: _____

Name: _____
(Typed or Printed)

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Supplemental Questionnaire

For firm applying for airport concession DBE certification: A Supplemental Questionnaire is not required at this time.

Firm Name: _____

1. Is the firm's principal place of business in California? Yes_____ No_____

If no, please include copies of the firm's certification letter and DBE certificate issued in its home state. (The California UCP will not process a new application for DBE certification from a firm having its principal place of business in another state unless the firm has already been certified in that state.)

2. Is the firm authorized to do business in the State of California? Yes_____ No_____

3. List all office locations in California: _____

4. Has the firm ever done business with any U.S. DOT Grantees of California? Yes_____ No_____

If yes, please indicate the agency name(s) and latest year(s):

Agency	Latest Year

Agency	Latest Year

5. Is there an upcoming project in which the firm is interested and therefore, would need to be certified prior to a specific date in order to be counted toward DBE participation? Yes_____ No_____

If yes, please answer the following:

Agency letting contract: _____

Contract number and name: _____

Bid opening date (*If Request for Proposal, submission due date*): _____

6. Indicate areas where you prefer to do your work. You may select Statewide (SW) to indicate you are willing to work anywhere in the State.

SW Statewide	10 Fresno	20 Madera	30 Orange	40 San Luis Obispo	50 Stanislaus
01 Alameda	11 Glenn	21 Marin	31 Placer	41 San Mateo	51 Sutter
02 Alpine	12 Humboldt	22 Mariposa	32 Plumas	42 Santa Barbara	52 Tehema
03 Amador	13 Imperial	23 Mendocino	33 Riverside	43 Santa Clara	53 Trinity
04 Butte	14 Inyo	24 Merced	34 Sacramento	44 Santa Cruz	54 Tulare
05 Calaveras	15 Kern	25 Modoc	35 San Benito	45 Shasta	55 Tuolumne
06 Colusa	16 Kings	26 Mono	36 San Bernardino	46 Sierra	56 Ventura
07 Contra Costa	17 Lake	27 Monterey	37 San Diego	47 Siskiyou	57 Yolo
08 Del Norte	18 Lassen	28 Napa	38 San Francisco	48 Solano	58 Yuba
09 El Dorado	19 Los Angeles	29 Nevada	39 San Joaquin	49 Sonoma	

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Work Category Codes

Please review the enclosed Work Category Codes list and indicate below areas of expertise that you prefer to perform in order of importance. DBE applicants are first subject to the applicable small business size standards of the Small Business Administration (SBA). Second, the average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed the U.S. Department of Transportation's cap of \$17.42 million. Please note that size standards are subject to change at any time by the SBA. To determine if the firm meets SBA's and U.S. DOT's size standards, please contact one of the certifying agencies on the enclosed roster.

For firm applying for airport concession DBE certification: The average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed \$30 million.

<u>Work Code</u>	<u>Title (Description of Work/Service)</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Work Category Codes

AGRICULTURE, FORESTRY, AND FISHING

A0110	CASH GRAINS
A0130	FIELD CROPS, EXCEPT CASH GRAINS
A0160	VEGETABLES & MELONS
A0170	FRUITS & TREE NUTS
A0180	HORTICULTURAL SPECIALTIES
A0190	GENERAL FARMS, PRIMARILY CROP
A0210	LIVESTOCK, EXCEPT DAIRY AND POULTRY
A0240	DAIRY FARMS
A0250	POULTRY & EGGS
A0270	ANIMAL SPECIALTIES
A0290	GENERAL FARMS, PRIMARILY ANIMAL
A0710	SOIL PREPARATION SERVICES
A0720	CROP SERVICES
A0740	VETERINARY SERVICES
A0750	ANIMAL SERVICES, EXCEPT VETERINARY
A0760	FARM LABOR & MANAGEMENT SERVICES
A0780	LANDSCAPE & HORTICULTURAL SERVICES
A0810	TIMBER TRACTS
A0830	FOREST PRODUCTS
A0850	FORESTRY SERVICES
A0910	COMMERCIAL FISHING
A0920	FISH HATCHERIES & PRESERVES
A0970	HUNTING, TRAPPING, GAME PROPAGATION

MINING

B1010	IRON ORES
B1020	COPPER ORES
B1030	LEAD & ZINC ORES
B1040	GOLD & SILVER ORES
B1060	FERROALLOY ORES, EXCEPT VANADIUM
B1080	METAL MINING SERVICES
B1090	MISC METAL ORES
B1220	BITUMINOUS COAL & LIGNITE MINING
B1230	ANTHRACITE MINING
B1240	COAL MINING SERVICES
B1310	CRUDE PETROLEUM & NATURAL GAS
B1320	NATURAL GAS LIQUIDS
B1380	OIL & GAS FIELD SERVICES
B1410	DIMENSION STONE
B1420	CRUSHED & BROKEN STONE
B1440	SAND & GRAVEL
B1450	CLAY, CERAMIC, & REFRACTORY MINERALS
B1470	CHEMICAL & FERTILIZER MINERALS
B1480	NONMETALLIC MINERALS SERVICES
B1490	MISC NONMETALLIC MINERALS

CONSTRUCTION

C0600	MISC SUPPLIERS
C0612	SAFETY
C0620	LANDSCAPING & NURSERY
C0624	PETROLEUM, OIL, LUBRICANTS
C0625	SAND & GRAVEL
C0626	GRANITE & MARBLE
C0639	ASPHALT
C0649	PILINGS
C0651	CONCRETE & CEMENT
C0652	REINFORCING BAR SECTION
C0655	STEEL
C0656	DOORS & FRAMES
C0657	LUMBER
C0658	PAPER
C0659	PAINT
C0670	PIPE
C0680	FENCING
C0683	GUARD RAILINGS & BARRIERS
C0685	PAVEMENT MARKERS
C0686	ELECTRICAL & SIGNALS
C0687	GLASS & GLASS BLOCK
C0698	BUILDING MATERIAL
C0699	TOOLS
C0700	CONSTRUCTION STAKING
C1200	CONSTRUCTION AREA SIGNS
C1201	TRAFFIC CONTROL SYSTEM
C1522	RESET, ADJUST ROADWAY ITEMS
C1531	PLANE ASPHALT CONCRETE
C1575	REMOVE BRIDGE ITEM
C1580	MODIFY BRIDGE ITEM
C1601	CLEARING & GRUBBING
C1701	DEVELOP WATER SUPPLY
C1801	DUST PALLIATIVE
C1901	ROADWAY EXCAVATION
C1910	GRADING
C1920	STRUCTURE EXCAVATION
C1925	SHAPED BEDDING
C1930	STRUCTURE BACKFILL
C1940	DITCHES EXCAVATION
C1970	EMBANKMENT CONSTRUCTION
C1980	IMPORTED BORROW
C2000	HIGHWAY PLANTING
C2020	SOIL AMENDMENTS
C2021	HYDROSEEDING
C2030	EROSION CONTROL

CONSTRUCTION (Continued)

C2065	IRRIGATION SYSTEM	C6800	SUBSURFACE DRAIN
C2201	FINISHING ROADWAY	C6811	EDGE DRAIN
C2401	LIME TREATMENT	C6815	HORIZONTAL DRAIN
C2501	AGGREGATE SUBBASE	C6819	FILTER FABRIC
C2602	AGGREGATE BASE	C6820	PERMEABLE MATERIAL
C2700	CEMENT TREATED BASE	C6900	DOWNDRAIN
C2800	CONCRETE BASE	C7000	PLASTIC PIPE
C3600	PENETRATION TREATMENT & PRIME COAT	C7006	CORRUGATED STEEL PIPE INLET & RISER
C3701	SEAL COAT	C7026	CORRUGATED STEEL PIPE ENERGY DISSIPATOR
C3901	ASPHALT CONCRETE	C7035	WELDED STEEL PIPE
C3910	PAVING ASPHALT (ASPHALT CONCRETE)	C7041	JACKED WELDED STEEL PIPE
C3930	PAVEMENT REINFORCING FABRIC	C7065	DEBRIS RACK-DRAINAGE GATE
C3940	PLACE ASPHALT CONCRETE DIKE & MISC	C7112	REINFORCED CONCRETE SEWER PIPE
C3990	RECYCLE, RECLAIM ASPHALT CONCRETE	C7140	CLAY SEWER PIPE
C4010	PORTLAND CEMENT & CONCRETE PAVEMENT	C7160	ASBESTOS-CEMENT SEWER PIPE
C4040	CLEAN & SEAL PAVEMENT JOINTS - ROUT & SEAL CRACKS	C7180	CAST IRON SEWER PIPE
C4101	PAVEMENT SUBSEALING & JACKING	C7191	SEWER MANHOLE
C4201	GROOVE & GRIND PAVEMENT	C7194	JUNCTION CHAMBER
C4901	FURNISH & DRIVE PILING	C7200	ROCK SLOPE PROTECTION
C4906	CAST-IN-DRILLED-HOLE CONCRETE PILING	C7215	CONCRETED-ROCK SLOPE PROTECTION
C5000	PRESTRESSING CONCRETE CAST-IN-PLACE	C7218	AIR-BLOWN MORTAR (SLOPE PAVING)
C5100	CONCRETE STRUCTURE	C7250	SACKED CONCRETE
C5105	MINOR CONCRETE STRUCTURE	C7301	CONCRETE CURB & SIDEWALK - MISC
C5110	CONCRETE SURFACE FINISH	C7405	DRAINAGE PUMPING EQUIPMENT
C5111	CONCRETE OVERLAY - DRILL & BOND	C7410	PUMPING PLANT ELECTRICAL EQUIPMENT
C5120	FURNISH PRECAST CONCRETE DECK UNIT	C7415	ENGINE GENERATOR SET
C5124	ERECT PRECAST CONCRETE	C7500	MISC IRON & STEEL FRAME, COVER & GRATE
C5135	CONCRETE BLOCK & MASONRY RETAINING WALL	C7505	MISC BRIDGE METAL PUMPING PLANT METAL
C5136	REINFORCED CONCRETE CRIB WALL	C7600	DEVELOP, TEST, DRILL, MAINTAIN WELLS
C5150	CORE CONCRETE - REPAIR BRIDGE DECK	C8000	FENCING
C5180	SOUND WALL (MASONRY BLOCK - CONCRETE)	C8101	SURVEY OR HISTORICAL MONUMENT
C5190	JOINT SEAL - WATER STOP	C8201	OBJECT MARKER
C5201	REINFORCING STEEL	C8320	METAL BEAM GUARD RAILING
C5301	AIR-BLOWN MORTAR	C8330	METAL RAILING
C5310	PIPE LINING (CEMENT MORTAR)	C8331	CONCRETE BARRIER
C5401	WATERPROOFING	C8391	METAL BEAM BARRIER
C5501	STEEL STRUCTURES	C8405	THERMOPLASTIC TRAFFIC STRIPE & MARKING
C5570	STEEL CRIB WALL	C8406	PAINTED TRAFFIC STRIPE & MARKING
C5601	SIGN STRUCTURE	C8501	PAVEMENT MARKING
C5620	ROADSIDE SIGN	C8602	SIGNAL & LIGHTING
C5701	LUMBER & TIMBER	C8603	SIGNAL
C5900	CLEAN & PAINT STEEL	C8604	LIGHTING
C6101	RAILROAD WORK	C8605	MESSAGE SIGNS, LIGHTING & SIGN ILLUMINATION
C6200	ALTERNATIVE PIPE CULVERT	C8608	DETECTOR
C6301	CAST-IN-PLACE CONCRETE PIPE	C8609	TRAFFIC COUNT STATION
C6401	ASBESTOS-CEMENT PIPE	C8610	SPEED MONITORING STATION
C6500	REINFORCED CONCRETE PIPE	C8611	RAMP METERING SYSTEM
C6552	JACKED REINFORCED CONCRETE PIPE	C8700	CONSULTANT
C6591	NON-REINFORCED CONCRETE PIPE	C8701	BUSINESS ADMINISTRATION
C6650	CORRUGATED METAL PIPE (CSP)	C8702	MANAGEMENT INFORMATION SYSTEMS
C6680	JACKED CORRUGATED STEEL PIPE)	C8703	TRAFFIC ENGINEER
C6700	STRUCTURAL STEEL PLATE PIPE, ARCH & PIPE ARCH	C8704	ARCHITECTURAL
		C8705	DESIGN

CONSTRUCTION (Continued)

C8706 DESIGN BRIDGES
 C8707 FEASIBILITY STUDIES
 C8710 ENGINEERING
 C8711 COMPUTER
 C8712 PUBLIC RELATIONS
 C8716 ARCHITECTURAL ENGINEER
 C8720 CIVIL ENGINEERING
 C8721 RIGHT OF WAY ENGINEER
 C8722 ENVIRONMENTAL ENGINEER
 C8730 SAFETY STUDIES
 C8740 ELECTRICAL ENGINEERS
 C8742 MECHANICAL ENGINEERS
 C8744 LANDSCAPE ARCHITECTS
 C8750 REAL ESTATE
 C8760 SURVEYOR
 C8761 GEOPHYSICS
 C8765 DRAFTING
 C8770 CONSTRUCTION MANAGEMENT
 C8900 RAIL CAR SERVICES
 C8901 AIR CONDITIONING/SHEET METAL
 C8902 HEATING
 C8903 ELECTRICAL
 C8904 GLASS INSTALLATION
 C8905 SEATS
 C8906 AUTO SERVICE
 C8907 MACHINING
 C8908 PERSONNEL TRANSPORTATION
 C9602 BOTTOM DUMP TRUCKING
 C9605 FLAT BED TRUCKING
 C9632 HAZARDOUS WASTE TRUCKING
 C9670 TRUCK RENTAL
 C9771 TRUCK BROKER
 C9774 TRUCKER
 C9801 BUILDING CONSTRUCTION
 C9810 SMALL STRUCTURES
 C9822 CARPENTRY
 C9826 LAND SURVEYING
 C9827 DRYWALL CONSTRUCTION
 C9828 CRANE WORK
 C9829 RETAINER WALLS
 C9830 WALL COVERING
 C9834 CABINETRY
 C9835 LATHING
 C9836 PLASTERING
 C9837 ROOFING
 C9838 CERAMIC TILE
 C9839 CARPET & DRAPES
 C9840 FLOOR COVERING
 C9842 MASONRY
 C9846 ADDITIONS, ALTERATIONS OR REPAIRS
 C9850 PLUMBING
 C9852 EXTERMINATORS
 C9854 PAINTING STRUCTURES

C9858 RESIDENTIAL ELECTRICAL
 C9860 WATER METER & TEMP FACILITIES
 C9862 RESIDENTIAL AIR CONDITIONING & SHEET METAL
 C9864 SHOWER DOORS & MIRROR INSTALLATION
 C9866 HEATING & AIR CONDITIONING
 C9868 INSULATION
 C9869 ASBESTOS REMOVAL/ABATEMENT
 C9872 SEWER CONNECTION
 C9874 HARDWARE (ROUGH)
 C9876 HARDWARE (FINISH)
 C9878 SIDING, STUCCO, VENEER
 C9901 MISC SERVICES - CALTRANS FACILITIES
 C9902 FUEL SYSTEMS
 C9903 CONSTRUCTION CLEAN UP
 C9904 CORING
 C9905 CUTTING
 C9906 SANDBLASTING
 C9907 CONSTRUCTION EQUIPMENT RENTAL
 C9908 HEAVY EQUIPMENT RENTAL
 C9947 ELEVATOR
 C9980 DEMOLITION
 C9981 BUILDING MOVER
 C9988 MOVING & STORAGE
 C9999 BROKER (FOR FEE ONLY)

MANUFACTURING

D2010 MEAT PRODUCTS
 D2020 DAIRY PRODUCTS
 D2030 PRESERVED FRUITS & VEGETABLES
 D2040 GRAIN MILL PRODUCTS
 D2050 BAKERY PRODUCTS
 D2060 SUGAR & CONFECTIONERY PRODUCTS
 D2070 FATS & OILS
 D2080 BEVERAGES
 D2090 MISC FOOD & KINDRED PRODUCTS
 D2110 CIGARETTES
 D2120 CIGARS
 D2130 CHEWING & SMOKING TOBACCO
 D2140 TOBACCO STEMMING & REDRYING
 D2210 BROADWOVEN FABRIC MILLS, COTTON
 D2220 BROADWOVEN FABRIC MILLS, MANMADE
 D2230 BROADWOVEN FABRIC MILLS, WOOL
 D2240 NARROW FABRIC MILLS
 D2250 KNITTING MILLS
 D2260 TEXTILE FINISHING, EXCEPT WOOL
 D2270 CARPETS & RUGS
 D2280 YARN & THREAD MILLS
 D2290 MISC TEXTILE GOODS
 D2310 MEN'S & BOYS' SUITS & COATS
 D2320 MEN'S & BOYS' FURNISHINGS
 D2330 WOMEN'S & MISSES' OUTERWEAR
 D2340 WOMEN'S & CHILDREN'S UNDERGARMENTS
 D2350 HATS, CAPS, & MILLINERY

MANUFACTURING (Continued)

D2360	GIRLS' & CHILDREN'S OUTERWEAR	D3220	GLASS & GLASSWARE, PRESSED OR BLOWN
D2370	FUR GOODS	D3230	PRODUCTS OF PURCHASED GLASS
D2380	MISC APPAREL & ACCESSORIES	D3240	CEMENT, HYDRAULIC
D2390	MISC FABRICATED TEXTILE PRODUCTS	D3250	STRUCTURAL CLAY PRODUCTS
D2410	LOGGING	D3260	POTTERY & RELATED PRODUCTS
D2420	SAWMILLS & PLANING MILLS	D3270	CONCRETE, GYPSUM, & PLASTER PRODUCTS
D2430	MILLWORK, PLYWOOD & STRUCTURAL MEMBERS	D3280	CUT STONE & STONE PRODUCTS
D2440	WOOD CONTAINERS	D3290	MISC NONMETALLIC MINERAL PRODUCTS
D2450	WOOD BUILDINGS & MOBILE HOMES	D3310	BLAST FURNACE & BASIC STEEL PRODUCTS
D2490	MISC WOOD PRODUCTS	D3320	IRON & STEEL FOUNDRIES
D2510	HOUSEHOLD FURNITURE	D3330	PRIMARY NONFERROUS METALS
D2520	OFFICE FURNITURE	D3340	SECONDARY NONFERROUS METALS
D2530	PUBLIC BUILDING & RELATED FURNITURE	D3350	NONFERROUS ROLLING & DRAWING
D2540	PARTITIONS & FIXTURES	D3360	NONFERROUS FOUNDRIES (CASTINGS)
D2590	MISC FURNITURE & FIXTURES	D3390	MISC PRIMARY METAL PRODUCTS
D2610	PULP MILLS	D3410	METAL CANS & SHIPPING CONTAINERS
D2620	PAPER MILLS	D3420	CUTLERY, HANDTOOLS, & HARDWARE
D2630	PAPERBOARD MILLS	D3430	PLUMBING & HEATING, EXCEPT ELECTRIC
D2650	PAPERBOARD CONTAINERS & BOXES	D3440	FABRICATED STRUCTURAL METAL PRODUCTS
D2670	MISC CONVERTED PAPER PRODUCTS	D3450	SCREW MACHINE PRODUCTS, BOLTS, ETC.
D2710	NEWSPAPERS	D3460	METAL FORGINGS & STAMPINGS
D2720	PERIODICALS	D3470	METAL SERVICES, NEC
D2730	BOOKS	D3480	ORDNANCE & ACCESSORIES, NEC
D2740	MISC PUBLISHING	D3490	MISC FABRICATED METAL PRODUCTS
D2750	COMMERCIAL PRINTING	D3510	ENGINES & TURBINES
D2760	MANIFOLD BUSINESS FORMS	D3520	FARM & GARDEN MACHINERY
D2770	GREETING CARDS	D3530	CONSTRUCTION & RELATED MACHINERY
D2780	BLANKBOOKS & BOOKBINDING	D3540	METALWORKING MACHINERY
D2790	PRINTING TRADE SERVICES	D3550	SPECIAL INDUSTRY MACHINERY
D2810	INDUSTRIAL INORGANIC CHEMICALS	D3560	GENERAL INDUSTRIAL MACHINERY
D2820	PLASTICS MATERIALS & SYNTHETICS	D3570	COMPUTER & OFFICE EQUIPMENT
D2830	DRUGS	D3580	REFRIGERATION & SERVICE MACHINERY
D2840	SOAP, CLEANERS, & TOILET GOODS	D3590	INDUSTRIAL MACHINERY, NEC
D2850	PAINTS & ALLIED PRODUCTS	D3610	ELECTRIC DISTRIBUTION EQUIPMENT
D2860	INDUSTRIAL ORGANIC CHEMICALS	D3620	ELECTRICAL INDUSTRIAL APPARATUS
D2870	AGRICULTURAL CHEMICALS	D3630	HOUSEHOLD APPLIANCES
D2890	MISC CHEMICAL PRODUCTS	D3640	ELECTRIC LIGHTING & WIRING EQUIPMENT
D2910	PETROLEUM REFINING	D3650	HOUSEHOLD AUDIO & VIDEO EQUIPMENT
D2950	ASPHALT PAVING & ROOFING MATERIALS	D3660	COMMUNICATIONS EQUIPMENT
D2990	MISC. PETROLEUM & COAL PRODUCTS	D3670	ELECTRONIC COMPONENTS & ACCESSORIES
D3010	TIRES & INNER TUBES	D3690	MISC ELECTRICAL EQUIPMENT & SUPPLIES
D3020	RUBBER & PLASTICS FOOTWEAR	D3710	MOTOR VEHICLES & EQUIPMENT
D3050	HOSE & BELTING & GASKETS & PACKING	D3720	AIRCRAFT & PARTS
D3060	FABRICATED RUBBER PRODUCTS, NEC	D3730	SHIP & BOAT BUILDING & REPAIRING
D3080	MISC PLASTICS PRODUCTS, NEC	D3740	RAILROAD EQUIPMENT
D3110	LEATHER TANNING & FINISHING	D3750	MOTORCYCLES, BICYCLES, & PARTS
D3130	FOOTWEAR CUT STOCK	D3760	GUIDED MISSILES, SPACE VEHICLES, PARTS
D3140	FOOTWEAR, EXCEPT RUBBER	D3790	MISC TRANSPORTATION EQUIPMENT
D3150	LEATHER GLOVES & MITTENS	D3810	SEARCH & NAVIGATION EQUIPMENT
D3160	LUGGAGE	D3820	MEASURING & CONTROLLING DEVICES
D3170	HANDBAGS & PERSONAL LEATHER GOODS	D3840	MEDICAL INSTRUMENTS & SUPPLIES
D3190	LEATHER GOODS, NEC	D3850	OPHTHALMIC GOODS
D3210	FLAT GLASS	D3860	PHOTOGRAPHIC EQUIPMENT & SUPPLIES

MANUFACTURING (Continued)

D3870	WATCHES, CLOCKS, WATCHCASES & PARTS
D3910	JEWELRY, SILVERWARE, & PLATED WARE
D3930	MUSICAL INSTRUMENTS
D3940	TOYS & SPORTING GOODS
D3950	PENS, PENCILS, OFFICE, & ART SUPPLIES
D3960	COSTUME JEWELRY & NOTIONS
D3990	MISC MANUFACTURES

TRANSPORTATION & PUBLIC UTILITIES

E4010	RAILROADS
E4110	LOCAL & SUBURBAN TRANSPORTATION
E4120	TAXICABS
E4130	INTERCITY & RURAL BUS TRANSPORTATION
E4140	BUS CHARTER SERVICE
E4150	SCHOOL BUSES
E4170	BUS TERMINAL & SERVICE FACILITIES
E4210	TRUCKING & COURIER SERVICES, EX. AIR
E4220	PUBLIC WAREHOUSING & STORAGE
E4230	TRUCKING TERMINAL FACILITIES
E4310	U. S. POSTAL SERVICE
E4410	DEEP SEA FOREIGN TRANS. OF FREIGHT
E4420	DEEP SEA DOMESTIC TRANS. OF FREIGHT
E4430	FREIGHT TRANS. ON THE GREAT LAKES
E4440	WATER TRANSPORTATION OF FREIGHT, NEC.
E4480	WATER TRANSPORTATION OF PASSENGERS
E4490	WATER TRANSPORTATION SERVICES
E4510	AIR TRANSPORTATION, SCHEDULED
E4520	AIR TRANSPORTATION, NONSCHEDULED
E4580	AIRPORTS, FLYING FIELDS, & SERVICES
E4610	PIPELINES, EXCEPT NATURAL GAS
E4720	PASSENGER TRANSPORTATION ARRANGEMENT
E4724	TRAVEL SERVICE
E4730	FREIGHT TRANSPORTATION ARRANGEMENT
E4740	RENTAL OF RAILROAD CARS
E4780	MISC TRANSPORTATION SERVICES
E4810	TELEPHONE COMMUNICATIONS
E4820	TELEGRAPH & OTHER COMMUNICATIONS
E4830	RADIO & TELEVISION BROADCASTING
E4840	CABLE & OTHER PAY TV SERVICES
E4890	COMMUNICATIONS SERVICES, NEC
E4910	ELECTRIC SERVICES
E4920	GAS PRODUCTION & DISTRIBUTION
E4930	COMBINATION UTILITY SERVICES
E4940	WATER SUPPLY
E4950	SANITARY SERVICES, NEC
E4952	SEWERAGE SYSTEMS
E4953	WASTE COLLECTION AND DISPOSAL
E4954	HAZARDOUS WASTE COLLECTION AND DISPOSAL
E4960	STEAM & AIR-CONDITIONING SUPPLY
E4970	IRRIGATION SYSTEMS

SUPPLIERS (Construction suppliers listed in Construction section.)

F5030	LUMBER AND CONSTRUCTION MATERIAL
F5040	PROFESSIONAL & COMMERCIAL EQUIPMENT
F5044	OFFICE EQUIPMENT
F5045	COMPUTERS, PERIPHERALS & SOFTWARE
F5050	METALS & MINERALS, EXCEPT PETROLEUM
F5060	ELECTRICAL GOODS
F5070	HARDWARE, PLUMBING & HEATING EQUIPMENT
F5080	MACHINERY, EQUIPMENT, & SUPPLIES
F5085	COMPUTER EQUIPMENT & SUPPLIES
F5088	TRANSPORTATION EQUIPMENT & SUPPLIES
F5090	MISC DURABLE GOODS
F5110	PAPER & PAPER PRODUCTS
F5130	APPAREL, PIECE GOODS, & NOTIONS
F5140	GROCERIES & RELATED PRODUCTS
F5150	FARM-PRODUCT RAW MATERIALS
F5160	CHEMICALS & ALLIED PRODUCTS
F5170	PETROLEUM & PETROLEUM PRODUCTS
F5180	BEER, WINE, & DISTILLED BEVERAGES
F5190	MISC NONDURABLE GOODS
F5210	LUMBER & OTHER BUILDING MATERIALS
F5230	PAINT, GLASS, & WALLPAPER STORES
F5251	HARDWARE STORES
F5260	RETAIL NURSERIES & GARDEN STORES
F5270	MOBILE HOME DEALERS
F5310	DEPARTMENT STORES
F5330	VARIETY STORES
F5390	MISC GENERAL MERCHANDISE STORES
F5410	GROCERY STORES
F5420	MEAT & FISH MARKETS
F5430	FRUIT & VEGETABLE MARKETS
F5440	CANDY, NUT, & CONFECTIONERY STORES
F5450	DAIRY PRODUCTS STORES
F5460	RETAIL BAKERIES
F5490	MISC FOOD STORES
F5510	NEW & USED CAR DEALERS
F5520	USED CAR DEALERS
F5530	AUTO & HOME SUPPLY STORES
F5540	GASOLINE SERVICE STATIONS
F5550	BOAT DEALERS
F5560	RECREATIONAL VEHICLE DEALERS
F5570	MOTORCYCLE DEALERS
F5590	AUTOMOTIVE DEALERS, NEC
F5610	MEN'S & BOYS' CLOTHING STORES
F5620	WOMEN'S CLOTHING STORES
F5630	WOMEN'S ACCESSORY
F5640	CHILDREN'S & INFANTS' WEAR STORES
F5650	FAMILY CLOTHING STORES
F5660	SHOE STORES
F5690	MISC APPAREL & ACCESSORY STORES
F5710	FURNITURE & HOMEFURNISHINGS STORES
F5720	HOUSEHOLD APPLIANCE STORES
F5730	RADIO, TELEVISION, & COMPUTER STORES

SUPPLIERS (Construction suppliers listed in Construction section.)

F5810	EATING & DRINKING PLACES
F5820	CATERING
F5910	DRUG STORES & PROPRIETARY STORES
F5920	LIQUOR STORES
F5930	USED MERCHANDISE STORES
F5940	MISC SHOPPING GOODS STORES
F5960	NONSTORE RETAILERS
F5980	FUEL DEALERS
F5990	RETAIL STORES, NEC
F5992	FLORIST

FINANCE INSURANCE & REAL ESTATE

H6010	CENTRAL RESERVE DEPOSITORIES
H6020	COMMERCIAL BANKS
H6030	SAVINGS INSTITUTIONS
H6060	CREDIT UNIONS
H6080	FOREIGN BANK & BRANCHES & AGENCIES
H6090	FUNCTIONS CLOSELY RELATED TO BANKING
H6110	FEDERAL & FED.-SPONSORED CREDIT
H6140	PERSONAL CREDIT INSTITUTIONS
H6150	BUSINESS CREDIT INSTITUTIONS
H6160	MORTGAGE BANKERS & BROKERS
H6210	SECURITY BROKERS & DEALERS
H6220	COMMODITY CONTRACTS BROKERS, DEALERS
H6230	SECURITY & COMMODITY EXCHANGES
H6280	SECURITY & COMMODITY SERVICES
H6310	LIFE INSURANCE
H6320	MEDICAL SERVICE & HEALTH INSURANCE
H6330	FIRE, MARINE, & CASUALTY INSURANCE
H6350	SURETY INSURANCE
H6360	TITLE INSURANCE
H6370	PENSION, HEALTH, & WELFARE FUNDS
H6390	INSURANCE CARRIERS, NEC
H6410	INSURANCE AGENTS, BROKERS, & SERVICE
H6510	REAL ESTATE OPERATORS & LESSORS
H6530	REAL ESTATE AGENTS & MANAGERS
H6531	REAL ESTATE APPRAISERS & BROKERS
H6540	TITLE ABSTRACT OFFICES
H6550	SUBDIVIDERS & DEVELOPERS
H6710	HOLDING OFFICES
H6720	INVESTMENT OFFICES
H6730	TRUSTS
H6790	MISC INVESTING

SERVICES

I7010	HOTELS & MOTELS
I7020	ROOMING & BOARDING HOUSES
I7030	CAMPS & RECREATIONAL VEHICLE PARKS
I7040	MEMBERSHIP-BASIS ORG. HOTELS
I7210	LAUNDRY, CLEANING, & GARMENTS
I7220	PHOTOGRAPHIC STUDIOS, PORTRAIT
I7230	BEAUTY SHOPS

I7240	BARBER SHOPS
I7250	SHOE REPAIR & SHOESHINE PARLORS
I7260	FUNERAL SERVICE & CREMATORIES
I7290	MISC PERSONAL SERVICES
I7291	TAX RETURN PREPARATION SERVICES
I7310	ADVERTISING
I7320	CREDIT REPORTING & COLLECTION
I7330	MAILING, REPRODUCTION, STENOGRAPHIC
I7336	COMMERICAL ART AND GRAPHIC DESIGN
I7340	SERVICES TO BUILDINGS
I7341	JANITORIAL SERVICES
I7342	DISINFECTING AND PEST CONTROL
I7349	BUILDING MAINTENANCE SERVICES
I7350	MISC EQUIPMENT RENTAL & LEASING
I7360	PERSONNEL SUPPLY SERVICES
I7370	COMPUTER & DATA PROCESSING SERVICES
I7371	COMPUTER PROGRAMMING
I7372	PREPACKAGED SOFTWARE
I7373	INTEGRATED SYSTEMS & CAD/CAM SYSTEMS
I7375	INFORMATION RETRIEVAL SYSTEMS
I7377	COMPUTER RENTAL AND LEASING
I7378	COMPUTER MAINTENANCE & REPAIR
I7380	MISC BUSINESS SERVICES
I7381	DETECTIVE & ARMORED CAR SERVICES
I7382	SECURITY SYSTEMS SERVICES
I7388	INTERIOR DECORATING & DESIGN
I7510	AUTOMOTIVE RENTALS, NO DRIVERS
I7520	AUTOMOBILE PARKING
I7530	AUTOMOTIVE REPAIR SHOPS
I7540	AUTOMOTIVE SERVICES, EXCEPT REPAIR
I7550	TOWING
I7620	ELECTRICAL REPAIR SHOPS
I7630	WATCH, CLOCK, & JEWELRY REPAIR
I7640	REUPHOLSTERY & FURNITURE REPAIR
I7690	MISC REPAIR SHOPS
I7698	LOCKSMITH
I7810	MOTION PICTURE & VIDEO TAPE PRODUCTION
I7820	MOTION PICTURE & VIDEO TAPE DISTRIBUTION
I7830	MOTION PICTURE THEATERS
I7840	VIDEO TAPE RENTAL
I7850	MISCELLANEOUS AUDIO VISUAL SERVICES
I7910	DANCE STUDIOS, SCHOOLS, & HALLS
I7920	PRODUCERS, ORCHESTRAS, ENTERTAINERS
I7930	BOWLING CENTERS
I7940	COMMERCIAL SPORTS
I7990	MISC AMUSEMENT, RECREATION SERVICES
I8010	OFFICES & CLINICS OF MEDICAL DOCTORS
I8020	OFFICES & CLINICS OF DENTISTS
I8030	OFFICES OF OSTEOPATHIC PHYSICIANS
I8040	OFFICES OF OTHER HEALTH PRACTITIONERS
I8050	NURSING & PERSONAL CARE FACILITIES
I8060	HOSPITALS

SERVICES (Continued)

I8070 MEDICAL LABORATORIES
 I8073 DRUG TESTING
 I8080 HOME HEALTH CARE SERVICES
 I8090 HEALTH & ALLIED SERVICES, NEC
 I8110 LEGAL SERVICES
 I8210 ELEMENTARY & SECONDARY SCHOOLS
 I8220 COLLEGES & UNIVERSITIES
 I8230 LIBRARIES
 I8240 VOCATIONAL SCHOOLS
 I8290 SCHOOLS & EDUCATIONAL SERVICES, NEC
 I8320 INDIVIDUAL & FAMILY SERVICES
 I8330 JOB TRAINING & RELATED SERVICES
 I8350 CHILD DAY CARE SERVICES
 I8360 RESIDENTIAL CARE
 I8390 SOCIAL SERVICES, NEC
 I8410 MUSEUMS & ART GALLERIES
 I8420 BOTANICAL & ZOOLOGICAL GARDENS
 I8610 BUSINESS ASSOCIATIONS
 I8620 PROFESSIONAL ORGANIZATIONS
 I8630 LABOR ORGANIZATIONS
 I8640 CIVIC & SOCIAL ASSOCIATIONS
 I8650 POLITICAL ORGANIZATIONS
 I8660 RELIGIOUS ORGANIZATIONS
 I8690 MEMBERSHIP ORGANIZATIONS, NEC
 I8720 ACCOUNTING, AUDITING, & BOOKKEEPING
 I8730 RESEARCH & TESTING SERVICES
 I8734 LABORATORY TESTING AND ANALYSIS
 I8740 MANAGEMENT & PUBLIC RELATIONS
 I8810 PRIVATE HOUSEHOLDS
 I8990 SERVICES, NEC
 I8991 RECYCLING

PUBLIC ADMINISTRATION

J9110 EXECUTIVE OFFICES
 J9120 LEGISLATIVE BODIES
 J9130 EXECUTIVE & LEGISLATIVE COMBINED
 J9190 GENERAL GOVERNMENT, NEC
 J9210 COURTS
 J9220 PUBLIC ORDER & SAFETY
 J9410 ADMIN. OF EDUCATIONAL PROGRAMS
 J9430 ADMIN. OF PUBLIC HEALTH PROGRAMS
 J9440 ADMIN. OF SOCIAL & MANPOWER PROGRAMS
 J9450 ADMINISTRATION OF VETERANS' AFFAIRS
 J9510 ENVIRONMENTAL QUALITY
 J9530 HOUSING & URBAN DEVELOPMENT
 J9610 ADMIN. OF GENERAL ECONOMIC PROGRAMS

J9620 REGULATIONS, ADMIN. OF TRANSPORTATION
 J9630 REGULATION, ADMIN. OF UTILITIES
 J9640 REGULATION OF AGRICULTURAL MARKETING
 J9650 REGULATION MISC COMMERCIAL SECTORS
 J9660 SPACE RESEARCH AND TECHNOLOGY
 J9710 NATIONAL SECURITY
 J9720 INTERNATIONAL AFFAIRS

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Roster of Certifying Agencies

Note: Underlined website includes the California Unified Certification Program Application Package.

If firm has its principal place of business in another state and is certified in that state, please contact the California Department of Transportation in Cluster 4.

Area	Counties	Certifying Agencies	
Riverside, Imperial & San Diego (RIS) <i>Cluster 1</i>	Imperial Riverside San Diego	SAN DIEGO UNIFIED PORT DISTRICT Equal Opportunity Management P.O. Box 120488 San Diego, CA 92112-0488 Phone: (619) 686-6420 or (800) 854-2757 Fax: (619) 686-6413 www.portofsandiego.org CITY OF SAN DIEGO Equal Opportunity Contracting Program 1010 Second Avenue, #500 San Diego, CA 92101 Phone: (619) 533-4492 Fax: (619) 533-4474 www.sannet.gov	SUNLINE TRANSIT AGENCY Contracts and Compliance 32-505 Harry Oliver Trail Thousand Palms, CA 92276-3501 Phone: (760) 343-3456, Ext. 167 Fax: (760) 343-3845 www.sunline.org
Los Angeles Area <i>Cluster 2</i>	Kern Los Angeles Orange San Bernardino San Luis Obispo Santa Barbara Ventura	CITY OF LOS ANGELES Office of Contract Compliance 600 South Spring St., Suite 1300 Los Angeles, CA 90014 Phone: (213) 847-6480 Fax: (213) 847-5566 www.lacity.org/bca COUNTY OF ORANGE JOHN WAYNE AIRPORT 3160 Airway Avenue Costa Mesa, CA 92626 Phone: (949) 252-5175 Fax: (949) 252-5225 www.ocair.com	ORANGE COUNTY TRANSPORTATION AUTHORITY (OCTA) Small Business Programs 550 South Main Street P.O. Box 14184 Orange, CA 92863-1584 Phone: (714) 560-5620 Fax: (714) 560-5792 www.octa.net LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY (MTA) Small Business Diversity and Labor Compliance One Gateway Plaza Los Angeles, CA 90012 Phone: (213) 922-2600 Fax: (213) 922-7660 www.mta.net

Area	Counties	Certifying Agencies	
BayArea/ Central Valley <i>Cluster 3</i>	Alameda Amador Calaveras Contra Costa Fresno Kings Madera Marin Mariposa Merced Monterey Napa San Benito San Francisco San Joaquin San Mateo Santa Clara Santa Cruz Solano Sonoma Stanislaus Tulare Tuolumne	SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA) Small & Disadvantaged Businesses 3331 North First Street San Jose, CA 95134-1906 Phone: (408) 321-5962 Fax: (408) 955-9729 <u>www.vta.org</u> BAY AREA RAPID TRANSIT DISTRICT (BART) Office of Civil Rights 1330 Broadway, #1702 Oakland, CA 94612 Phone: (510) 464-6195 Fax: (510) 464-7848 <u>www.bart.gov</u> SAN JOAQUIN REGIONAL RAIL COMMISSION DBE Liaison Officer 5000 S. Airport Way, #102 Stockton, CA 95206 Phone: (209) 468-5600 Fax: (209) 468-5613 <u>www.acerail.com</u> CITY OF FRESNO DBE Program 2101 G Street, Building A Fresno, CA 93706 Phone: (559) 498-4071 Fax: (559) 488-1069 <u>www.ci.fresno.ca.us</u> CITY OF OAKLAND Contract Compliance Office 250 Frank H. Ogawa Plaza, #3341 Oakland, CA 94612 Phone: (510) 238-3970 Fax: (510) 238-3363 <u>www.oaklandnet.com</u>	SAN MATEO COUNTY TRANSIT DISTRICT (SAMTRANS)/ PENINSULA CORRIDOR JOINT POWERS BOARD (JPB) DBE Office 1250 San Carlos Avenue San Carlos, CA 94070 Phone: (650) 508-7939 Fax: (650) 508-7738 <u>www.samtrans.com</u> CENTRAL CONTRA COSTA TRANSIT AUTHORITY (CCCTA) Office of Civil Rights 2477 Arnold Industrial Way Concord, CA 94520-5327 Phone: (925) 676-1976 Fax: (925) 686-2630 www.cccta.org ALAMEDA-CONTRA COSTA TRANSIT DISTRICT (AC TRANSIT) DBE Program Compliance Administrator 1600 Franklin Street, 6 th Floor Oakland, CA 94612 Phone: (510) 891-7176 Fax: (510) 891-4724 www.actransit.org SAN FRANCISCO PUBLIC TRANSPORTATION DEPT. Accessible Services and Contract Compliance 1145 Market Street, 7 th Floor San Francisco, CA 94103 Phone: (415) 934-3987 Fax: (415) 934-3980 <u>www.sfmuni.com</u> <u>AIRPORT CONCESSIONS ONLY:</u> SAN FRANCISCO INTERNATIONAL AIRPORT Airport Minority/Women Opportunity P.O. Box 8097 San Francisco, CA 94128 Phone: (650) 821-5021 Fax: (650) 821-5146 www.flysfo.com

Area	Counties	Certifying Agencies
<p>Northern California</p> <p><i>Cluster 4</i></p>	<p>Alpine Nevada Butte Placer Colusa Plumas Del Norte Sacramento El Dorado Shasta Glenn Sierra Humboldt Siskiyou Inyo Sutter Lake Tehama Lassen Trinity Mendocino Yolo Modoc Yuba Mono</p>	<p>CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS) Civil Rights MS 79 1823 14th Street Sacramento, CA 95814 Phone: (916) 324-1700 or (866) 810-6346 Fax: (916) 324-1862 <u>www.dot.ca.gov</u></p> <p>YOLO COUNTY TRANSPORTATION DISTRICT DBE Programs 350 Industrial Way Woodland, CA 95776 Phone: (530) 661-0816 Fax: (530) 661-1732 www.yctd.org</p>